

## **X. MONITORING AND AUDITS**

**Monitoring and audits involves State agency efforts to review local agency activities on an ongoing and timely basis, and to track all audits involving WIC Program activity.**

***A. Monitoring - 246.19(b):*** require State agencies to establish a management evaluation system.

***B. Audits - 246.20(b)(1) and (3):*** describe State agency audit responsibilities.

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### MONITORING

#### A. MONITORING

☐ **DOES NOT APPLY (PROCEED TO NEXT SECTION)**

**1. Local Agency Monitoring Activity (to be updated each year)**

**a. Local agencies/clinics monitored during State fiscal year:**

55      number of local agencies monitored last year from July 1 to June 30

154     number of clinics monitored last year from July 1 to June 30

61      number of local agencies to be monitored this year

at least 20%      number of clinics to be monitored this year

**b. Number of local agencies required to submit Corrective Action Plans (CAPs) to redress deficiencies identified during monitoring last year:**

**41 (required for initial review only) (Number)**

**ADDITIONAL DETAIL: Monitoring & Audits Appendix  
and/or Procedure Manual (cite): MON: 03.0**

**2. Local Agency Monitoring Procedures**

**a. The State agency uses an established protocol when it monitors local agencies**

☒ Yes                      ☐ No

**If yes, attach in Monitoring and Audits Appendix or specify location in Procedure Manual below:**

**This monitoring protocol includes:**

- ☒ advance notification of monitoring visit
- ☒ discussion of review findings on-site with local agency
- ☒ specified time frame for providing written review report
- ☒ specified time frame for local agency submission of corrective action measures
- ☒ evaluation of adequacy of corrective action
- ☒ follow-up with local agency to ensure corrective action measures are implemented
- ☒ written notification of closure of the review
- ☒ other (specify): provision of monitoring tools and instructions

**b. Monitoring of local agencies is conducted by (check all that apply):**

- ☒ State WIC staff
- ☐ district or regional staff

- ☐ other health programs
- ☐ other (specify):

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- c. **Other health programs are reviewed concurrently to evaluate the overall effectiveness of operational coordination with the WIC Program**

☐ Yes ☐ No ☒ On some occasions

- d. **Specialists in the following areas are used to monitor the areas of their expertise:**

☐ vendor management  
☒ nutrition services, including breastfeeding promotion and support  
☐ financial management  
☐ civil rights  
☒ other (specify): Accounts Examiners IV

- e. **The State agency uses a standard local agency/clinic review form**

☒ Yes ☐ No

**If yes, the review form covers the following areas:**

☒ an assessment of local agency management  
☒ an assessment of patient flow  
☒ certification case file reviews, including procedures for determining adjunctive income eligibility  
☐ caseload management  
☒ training of local agency and clinic staff  
☒ nutrition education  
☒ targeting and outreach policies  
☒ financial management of administrative funds  
☒ interview with staff to validate time spent on WIC  
☒ food instrument accountability  
☐ vendor management training  
☒ civil rights compliance  
☒ other (specify): Quality Assurance; facility; referral and follow-up systems; immunizations services as applicable

- f. **The State agency has developed procedures for local agencies to use when they evaluate:**

☒ their own operations  
☐ subsidiary/satellite operations (e.g., county health department clinic)  
☐ subcontractors (e.g., community action program, hospital)  
☒ homeless facilities/institutions  
☐ other (specify):

**If yes, all local agencies are required to follow these procedures**

☒ Yes

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☐ No (specify basis for exemptions):

**ADDITIONAL DETAIL: Monitoring & Audits Appendix  
and/or Procedure Manual (cite):**

#### 3. Use of Local Agency Review Data

- a. **The State agency analyzes the results of local agency monitoring visits to determine whether deficient areas are common to many local agencies**

☒ Yes ☐ No

- b. **The State agency utilizes local agency review data to (check all that apply):**

- ☒ identify outstanding operational approaches which could be shared with other local agencies  
☒ track individual local agency performance  
☐ compare administrative costs/expenses between local agencies  
☒ compare staffing and organization between local agencies  
☐ other (specify):

- c. **In preparing to conduct a local agency review, the State agency reviews data reports on:**

- ☒ no-shows by category  
☒ administrative costs claimed  
☒ financial reports  
☒ priorities served  
☒ percent caseload reached  
☒ staff/participant ratios  
☐ participant nutrition surveillance data for participants in that local agency  
☐ other (specify):

**ADDITIONAL DETAIL: Monitoring & Audits Appendix  
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#### **B. AUDITS**

☐ **DOES NOT APPLY (PROCEED TO NEXT SECTION)**

**1. Audits (Federal, State, and Local)**

**a. Number of audits conducted during FY-01: .**

<b>b.</b>	<b>Entities audited (includes both State and local agencies)</b>	<b>Auditor(s) of Audit</b>	<b>Period at this time</b>	<b>Status/disposition of audit (management decision, final action etc.)</b>
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**SEE APPENDIX FOR LIST**

**ADDITIONAL DETAIL: Monitoring & Audits Appendix  
and/or Procedure Manual (cite):**

**2. Audit Management Decision**

**a. Methods used by the State agency to ensure that corrective action is taken on  
audit findings include (check all that apply):**

- ☒ State agency has a copy of the corrective action plan on file
- ☒ State agency tracks audits to determine if the same problems are  
recurring from year to year
- ☐ local agency must file periodic reports
- ☒ State agency contacts local agency by phone or in writing periodically
- ☒ State agency visits local agency

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☐ other (specify):

**b. State agency actions taken to ensure that all claims amounts are recovered include (check all that apply):**

- ☐ local agency files periodic reports
- ☒ State agency contacts local agency by phone or in writing
- ☒ receipt of a check in the amount of an audit claim
- ☐ establishment of billing/offsetting of account procedures
- ☐ other (specify):

**c. State agency accounting procedures for claim amounts recovered:**

- ☒ recovered claim amounts from prior fiscal years are returned to FNS
- ☒ recovered claim amounts are reallocated if collected within the same fiscal year
- ☒ claim amounts are verified with local agency
- ☒ other (specify): Refunded when a revised closeout is done

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### 3. Availability of Audit Reports

**a. The State WIC Office receives and maintains for at least three years copies of all organization-wide audits involving the WIC Program and maintains a listing of those audits**

☐ Yes    ☒ No, copies are retained by: TDH Internal Audit

**b. Procedures used for maintaining files to reflect the trail from the receipt of the audit to final action include:**

- ☐ detailed breakdown of each audit finding is tracked separately
- ☒ individuals are assigned to monitor each audit
- ☐ one individual is assigned to monitor all audits
- ☒ other (specify): Audit findings pertaining to WIC are sent to WIC monitors to investigate. WIC monitors make recommendations back to Internal Audit.

**c. The State agency maintains a listing of all planned audits for the coming Fiscal Year**

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☒ Yes ☐ No

(Indicate recent FYs which included WIC in A-133 audits): FY01

**d. The State agency ensures WIC participation in A-133 and other audits by (check all that apply):**

- ☒ developing a tracking system that monitors the status of each audit
- ☐ establishing a contact person for each audit
- ☐ including this audit requirement in the local agency contract
- ☐ other (specify):

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